

CHANGES APRIL 1, 2006 THROUGH FEBRUARY 28, 2007

**TITLE 17—COMMODITY AND
SECURITIES EXCHANGES**

**Chapter I—Commodity Futures
Trading Commission (Parts
1—199)**

1.3 (c) and (d) revised**37816**
 1.10 (b)(2)(iii), (d)(4)(ii) and (h)
 revised; (d)(4)(iii) added**67465**
 1.12 (g)(2) revised1151
 1.17 (d)(1) introductory text and
 (e) introductory text amend-
 ed; (d)(1)(ii)(D) and (g) added
1152
 1.31 (d) revised.....**67465**
 4.2 Removed1662
 4.5 (c) introductory text, (2)(i),
 (d)(1), (2) and (f) revised1662
 4.7 (d)(1) revised1662
 4.8 (a) and (b) revised1662
 4.12 (b)(1)(ii), (3) and (5)(i) re-
 vised1663
 4.13 (a)(5), (b)(1) introductory
 text, (iii), (2), (4) and (e)(2)
 revised1663
 4.14 (a)(8)(iii)(A) introductory
 text, (3), (B) and (D) revised
1664
 4.41 (a)(1) and (2) amended; (a)(3)
 added; (b)(1)(i), (2) and (c)(1)
 revised8109
 15.00 Revised**37816**
 15.01 (a) and (b) revised**37817**
 15.03 (b) revised**37817**
 15.05 (a) and (h) revised**37818**
 16 Heading and authority cita-
 tion revised**37818**
 16.00 (a) introductory text, (1),
 (5) and (b) introductory text
 revised; (c) added**37818**
 16.01 (a) through (d) introductory
 text revised; (a) note re-
 moved; (e) added**37818**
 16.06 Revised**37819**
 16.07 (a) and (b) revised**37819**
 17 Heading and authority cita-
 tion revised**37819**
 17.00 (a)(1), (b)(2) and (g)(2)(iv)
 revised; (i) added**37819**
 17.01 Introductory text, (a), (b)
 introductory text, (d), (f) and
 (g) revised; (h) added**37820**
 17.02 Revised**37820**
 17.03 Introductory text and (c)
 revised**37820**

17.04 (a), (b)(1)(i) and (2) revised
**37820**
 18.00 Introductory text revised**37821**
 18.05 Revised**37821**
 19.00 (a) and (b) introductory
 text revised**37821**
 19.01 (a) introductory text re-
 vised**37821**
 21.01 Revised**37821**
 21.02 Heading and introductory
 text revised**37821**
 21.03 Heading, (c), (d), (e) intro-
 ductory text and (f) revised
**37821**
 30 Appendix C amended**40396**
 37.2 Revised**37822**
 38 Authority citation revised6957
 38 Appendix B amended6957
 41.15 Added**39541**
 41.21 (a)(2)(i), (ii), (b)(3)(i) and (ii)
 amended; (a)(2)(iii) and
 (b)(3)(iii) added**39542**
 140 Policy statement**64443**
 170.15 (a) revised2615

**Chapter II—Securities and Ex-
change Commission (Parts
200—399)**

200.1—200.30-18 (Subpart A) Au-
 thority citation revised**65407**
 200.21 (a) amended**27385**
 200.30-1 (e)(1) amended**65407**
 200.30-3 (a)(59) correctly amend-
 ed1283
 200.30-10 (a) introductory text
 and (7) amended; (a)(8) added
**71037**
 200.200—200.205 (Subpart G) Au-
 thority citation amended**33386**
 200.200 Amended**33386**
 Correctly amended**35730**
 200.201 Revised**33386**
 200.202 (b) revised; authority ci-
 tation removed**33387**
 200.203 (c)(1) revised; (e) amend-
 ed; authority citation re-
 moved**33387**
 200.204 Amended**33387**
 200.205 Authority citation re-
 moved**33387**
 202 Authority citation revised**42001**
 202.10 Added**20340**
 202.11 Added**42001**
 210 Authority citation revised**76594**
 210.2-02T Added**47059**

NOTE: Boldface page numbers indicate 2006 changes.

CHANGES APRIL 1, 2006 THROUGH FEBRUARY 28, 2007

TITLE 17 Chapter II—Con.

(a) amended; (b) revised; (c) and (d) added.....	76594	239.17b Form N-4 amended.....	36659
211 Staff accounting bulletin.....	54580	239.17c Form N-6 amended.....	36659
228.201 (d) instructions amended.....	53228	239.18 Form S-11 amended.....	53260
228.306 Removed.....	53228	239.25 Form S-4 amended.....	53260
228.308 Amended.....	76594	239.63 Form ID revised.....	74709
228.308T Added.....	76594	240 Authority citation revised.....	65407, 74708, 76596
228.401 (e), (f) and (g) removed.....	53228	Authority citation revised.....	4166
228.402 Revised.....	53228	240.3a55-4 Added.....	39542
(b)(2)(v), (vi), (ix)(G), (f)(2)(iii), (iv) and (vii)(I) revised; (b)(2) and (f) instructions amended.....	78349	240.6h-2 Added.....	39542
228.403 (b) revised.....	53234	240.13a-11 (c) revised.....	53260
228.404 Revised.....	53234	240.13a-14 (a) amended.....	76596
228.407 Added.....	53235	240.13a-15 (a) revised; (c) and (d) amended.....	76596
229 Authority citation revised.....	76595	240.13a-20 Added.....	53261
Authority citation amended.....	78350	240.13e-4 (f)(8)(ii) revised; (f)(12) redesignated as (f)(13); new (f)(12) added.....	65407
229.201 (d) instructions amended; (e) added.....	53240	240.14a-2 (b)(3)(ii) amended; (b)(3)(iv) revised.....	4166
229.306 Removed.....	53241	240.14a-3 (b)(9) revised.....	53261
229.308 Amended.....	76595	(a), (e)(1)(i), (ii)(A) introductory text, (B)(2) introductory text, (i), (iii), (3), (iii) and (2) revised; (b)(13) amended.....	4166
229.308T Added.....	76595	240.14a-4 (c)(1) amended; authority citation removed.....	4167
229.401 (g)(1) revised; (h), (i) and (j) removed.....	53241	240.14a-6 (a)(4) revised.....	53261
229.402 Revised.....	53241	240.14a-7 (a)(2)(i) and (ii) revised; (a)(2)(iii) added; <i>Notes</i> amended.....	4167
(i)(1) table correctly amended.....	56225	240.14a-8 (e)(2), (3) and (m)(3) introductory text amended.....	4168
(c)(2)(v), (vi), (ix)(G), (d)(1) table, (k)(2)(iii), (iv) and (vii)(I) revised; (c)(2) instructions, (d)(2)(vi), (vii), (d)(2) instructions and (k)(2) instructions amended; (d)(2)(viii) added.....	78350	240.14a-12 (c)(1) amended.....	4168
229.403 (b) revised.....	53252	240.14a-13 (a)(5), <i>Note 2</i> and (c) amended.....	4168
229.404 Revised.....	53252	240.14a-16 Added.....	4168
229.407 Added.....	53254	240.14a-101 Amended.....	53261
229.601 (b)(10)(iii)(C)(5) revised.....	53259	Amended.....	4170
229.1107 (e) revised.....	53259	240.14b-1 (b)(2) and (c)(2)(i) revised; (c)(2)(ii) and (3) amended; (d) and (e) revised.....	4170
232 Authority citation revised.....	74708	240.14b-2 (b)(3) introductory text, <i>Note</i> and (c)(2)(i) revised; (c)(2)(ii) and (4) amended; (d) and (e) added.....	4171
232.101 (a)(1)(x) and (xi) amended; (a)(1)(xii) added.....	74708	240.14c-2 (a) revised; (d) added.....	4171
232.104 (a) revised.....	74708	240.14c-3 (a)(1) and (c) revised; (d) added; authority citation removed.....	4172
232.201 (a) introductory text revised.....	74708	240.14c-5 (a)(4) revised.....	53263
232.304 (d) and (e) revised.....	53259	(a) introductory text amended.....	4172
239 Authority citation revised.....	74708	240.14c-7 (a)(5) text revised and <i>Note 2</i> amended.....	4172
239.10 Form SB-2 amended.....	53259		
239.11 Form S-1 amended.....	53260		
239.13 Form S-3 amended.....	53260		
239.14 Form N-2 amended.....	36657, 53266		
239.15A Form N-1A amended.....	36656, 53266		
239.17a Form N-3 amended.....	36658, 53266		

NOTE: Boldface page numbers indicate 2006 changes.

CHANGES APRIL 1, 2006 THROUGH FEBRUARY 28, 2007

240.14c-101 Amended.....4172
 240.14d-10 (a)(2) revised; (d) and (e) redesignated as (e) and (f); new (d) added**65408**
 240.15d-11 (c) revised.....**53263**
 240.15d-14 (a) amended**76596**
 240.15d-15 (a) revised; (c) and (d) amended**76597**
 240.15d-20 Added**53263**
 240.16b-3 (b)(3)(i)(B) and (C) amended; (b)(3)(i)(D) removed; Note 4 added**53263**
 240.17Ac2-1 (c) revised; (d) redesignated as (e); new (d) added**74708**
 240.17Ac2-2 (a) introductory text amended; (c) revised**74708**
 241 Interpretive releases**41978**
 242 Compliance date extension**30038**
 Compliance date extension4202
 245.100 (a)(2) amended**53263**
 249 Authority citation revised4173
 249.210 Form 10 amended.....**53264**
 249.210b Form 10-SB amended**53264**
 249.220f Form 20-F amended**47059, 53264, 76597**
 249.240f Form 40-F amended**47059, 76598**
 249.308 Form 8-K amended.....**53264**
 249.308a Form 10-Q amended.....**53265, 76598**
 Form 10-Q amended4173
 249.308b Form 10-QSB amended**53265, 76598**
 Form 10-QSB amended.....4173
 249.310 Form 10-K amended.....**53265, 76599**
 Form 10-K amended4173
 249.310b Form 10-KSB amended**53265, 76599**
 Form 10-KSB amended4173
 249.330 Form N-SAR amended.....4173
 249.331 Form N-CSR amended**53266**
 249.446 Form ID revised.....**74709**
 249b.100 Form TA-1 revised.....**74709**
 249b.101 Form TA-W revised.....**74709**
 249b.102 Form TA-2 revised.....**74709**
 269.7 Form ID revised.....**74709**
 270 Authority citation amended**36655**
 270.2a-46 Added**64092**
 270.12d1-1 Added**36655**
 270.12d1-2 Added**36655**
 270.12d1-3 Added**36655**
 270.22c-2 Revised.....**58272**
 270.55a-1 Added**64092**

274.11A Form N-1A amended**36656, 53266**
 274.11a-1 Form N-2 amended.....**36657, 53266**
 274.11b Form N-3 amended...**36658, 53266**
 274.11c Form N-4 amended**36659**
 274.11d Form N-6 amended**36659**
 274.101 Form N-SAR amended.....4173
 274.128 Form N-CSR amended**53266**
 274.402 Form ID revised.....**74709**
 279.1 Form ADV amended.....**17345**
 279.2 Form ADV-W amended.....**17345**
 279.3 Form ADV-H amended**17345**
 279.8 Form ADV-E amended.....**17345**

Chapter IV—Department of the Treasury (Parts 400—499)

400.1 (a) revised.....**54410**
 400.2 (c)(3)(vi) and (7)(i) amended**54410**
 400.3 Amended**54410**
 401.3 (a)(2)(ii)(B) and (C) amended.....**54411**
 401.9 (b), (i), (n), (o) and (p) amended**54411**
 402.1 (b) revised.....**54411**
 402.2a (c) amended.....**54411**
 403.1 Revised.....**54411**
 404.1 (a)(3)(i)(B) amended.....**54411**
 404.4 (a)(3)(i)(B) amended.....**54411**
 405.1 (a) revised.....**54411**

Proposed Rules:

1**54789, 57451**
 4**49387, 52211, 60454**
 38**38740, 43681**
 41**18030**
 170**64171**
 2001384
 210**47060, 77635**
 228**47060**
 229**47060, 53267**
 230**67762**
 400
 232**53494**
 1384, 6676
 239**53494**
 6676
 240**18030, 40866, 47060, 53494, 60636, 71109, 75068, 77522, 77550, 77635**
 1384, 4176, 6378
 241**77635**
 242**41710, 75002, 75068**
 247**77522**
 249**47060, 53494**

NOTE: Boldface page numbers indicate 2006 changes.

CHANGES APRIL 1, 2006 THROUGH FEBRUARY 28, 2007

TITLE 17 *Proposed Rules:—Con.*

.....	1384
249b.....	53494
.....	6378
269.....	53494
270.....	35366, 64093, 76618
.....	680, 1301, 6676
274.....	53494
.....	6676
275.....	400

TITLE 18—CONSERVATION OF
POWER AND WATER RE-
SOURCESChapter I—Federal Energy Regu-
latory Commission, Department
of Energy (Parts 1—399)

11 Appendix A revised.....	1453
2 Authority citation revised.....	28443
Policy statement.....	42579
2.26 (e) and (f) revised.....	28443
33 Authority citation and head- ing revised.....	28443
33.1 Revised.....	28443
33.2 (j) revised.....	28446
(j)(1) introductory text revised	42586
(j)(1) introductory text cor- rected.....	45736
33.11 Revised.....	28446
35 Policy statement.....	42587
35.28 (c)(1)(vi) added.....	26212
35.34 (e) removed.....	43338
35.35 (Subpart G) Added.....	43338
(d)(1) introductory text and (i) amended; (j) added.....	1172
(h)(3) revised.....	5174
35.37 (d) amended.....	30287
35 Appendices 2 and 3 corrected	53965
37.5 (b) revised.....	26212
38 Added.....	26212
39.6 (b)(1) and (c) revised.....	19823
41.1 Revised.....	29784
42 Added.....	43619
Technical correction.....	46078
Order.....	68440
50 Added.....	69465
Workshops.....	5613
101 Amended.....	28515
153.4 Added.....	62920
153.8 (a)(7) and (8) amended; (a)(9) added.....	62920
157.6 (d)(2)(i) revised.....	63692

157.9 Heading revised; existing text designated as (a); (b) added.....	62920
157.14 (a)(12) added.....	62921
157.22 Added.....	62921
157.203 (d)(1)(iii) and (2)(iv) redesi- gnated as (d)(1)(iv) and (2)(vi); (b), (c), (d)(1) intro- ductory text, (ii), (2)(iii) and new (vi) amended; (d)(2)(i) and (ii) revised; new (d)(1)(iii), (2)(iv), (v) and (vii) added.....	63692
157.205 (a) introductory text and (d)(1) amended.....	63693
157.206 (b)(5) revised.....	63693
157.207 (c) through (h) redesi- gnated as (d) through (i); new (c) added.....	63693
157.208 (c)(9) revised; (d) Table I amended; (e)(4) redesignated as (e)(4)(i); (c)(10) and (e)(4)(ii), (iii) and (iv) added	63693
(d) Table I revised.....	5614
157.210 Added.....	63693
157.212 Added.....	63693
157.213 Added.....	63693
157.215 (a) Table II revised.....	5614
157.216 (a)(2), (b)(2) and (c)(5) amended.....	63694
158.1 Revised.....	29784
250 Technical correction.....	198
260.9 Heading, (a), (b), (d) and (e) revised.....	51104
284.126 (d) correctly removed.....	38066
284.288 (b) amended.....	30287
284.403 (b) amended.....	30287
284.501—284.505 (Subpart M) Added.....	36636
286 Authority citation revised.....	29784
286.103 Revised.....	29785
292.303 Revised.....	64372
(c)(1) and (d) corrected.....	75662
292.309 Added.....	64372
(f)(2) corrected.....	75662
292.310 Added.....	64372
292.311 Added.....	64372
292.312 Added.....	64372
(b) corrected.....	75662
292.313 Added.....	64372
292.314 Added.....	64372
292.602 (b) revised.....	30589
349 Authority citation revised.....	29785
349.1 Revised.....	29785
358 Policy statement.....	30056

NOTE: Boldface page numbers indicate 2006 changes.